

SECTION E: INTERNATIONAL CONVENTIONS, TREATIES, STANDARDS, AND REGULATIONS**CHAPTER 3: SAFETY MANAGEMENT SYSTEMS (SMS)****TABLE OF CONTENTS**

	<u>PAGE</u>
A. INTRODUCTION	E3-1
1. References	E3-1
2. What is the International Safety Management Code?	E3-2
3. Applicability	E3-2
4. U.S. Law vs. International convention Definitions	E3-3
B. DISCUSSION	E3-5
1. Objectives	E3-5
2. Key Elements	E3-5
3. SMS Documents	E3-7
4. SMS Certification Process	E3-7
5. SMS Audit Process	E3-8
6. Document of Compliance Certificates and Safety Management Certificates	E3-8
7. Interim Certificates	E3-9
C. COAST GUARD ENFORCEMENT	E3-11
1. Jurisdiction – Flag State	E3-11
2. General Guidelines for Enforcement on U.S. Vessels	E3-11
3. Legal and Regulatory Authority for U.S. Vessels	E3-12
4. Voluntary Compliance by the U.S. Domestic Fleet	E3-13
5. ISM Code Equivalence for Certain Small Passenger Vessels	E3-13
D. DELEGATION OF ISM CODE CERTIFICATION BY THE COAST GUARD TO RECOGNIZED ORGANIZATIONS	E3-16
1. Authority for Delegation	E3-16
2. Application Process	E3-16
E. RECOGNITION, AUTHORIZATION AND OVERSIGHT OF AUTHORIZED ORGANIZATIONS ACTING ON BEHALF OF THE U.S.	E3-17
1. Responsibilities of the Commandant Staffs	E3-17
2. Responsibilities of Authorized Organizations	E3-19
F. COAST GUARD'S ISM CODE OVERSIGHT ON U.S. VESSELS	E3-21
1. When to Conduct ISM Code Oversight	E3-21
2. Oversight of U.S. Vessels Enrolled in Alternate Compliance Program	E3-21
3. Notification of Authorized Organization Issuing ISM Code Certificates	E3-22
4. Coast Guard Actions for Non-Compliance	E3-22
5. Observation of ISM Code Audits by Qualified Coast Guard Personnel	E3-23
G. REVOCATION OF A DOC CERTIFICATE OR SMC BY THE COAST GUARD	E3-24
1. Authority and Grounds for Revocation of DOC	E3-24
2. Authority and Grounds for Revocation of SMC	E3-24
3. Revocation for Failure to Allow Access to Personnel or Records	E3-25
4. Appeal of Authorized Organization's Decisions	E3-25

SECTION E: INTERNATIONAL CONVENTIONS, TREATIES, STANDARDS, AND REGULATIONS

CHAPTER 3: SAFETY MANAGEMENT SYSTEMS (SMS)

	<u>PAGE</u>
H. CONVERSION OF VOLUNTARY CERTIFICATES PRIOR TO 01 JULY 1998	E3-26
1. Authorized Organizations	E3-26
2. Voluntary Certificates	E3-27
3. Audits and Certificate Endorsement	E3-27